

NPEC IPEDS Faculty/Staff Review Working Group

Faculty Focus

This working group was charged with reviewing the IPEDS Fall Staff (S) Survey and the IPEDS Salaries, Tenure, and Fringe Benefits of Full-time Instructional Faculty (SA) Survey. The group was asked to develop a relationship between the two surveys.

In reviewing and commenting on the proposals of this working group, please note that if the final recommendations of the working group (as revised from the current proposals based on community feedback) are accepted by IPEDS, the changes would not be fully implemented until the fall of 2003 (i.e., the 2003 Fall Staff survey and the 2003 Salary Survey).

The working group identified several issues in their review of the Staff and Salary surveys:

1. First, it was clear that institutions define 'faculty' in many different ways and oftentimes bestow faculty status on individuals in widely varying occupational categories.
2. Second, it was not clear who institutions were including in reporting of faculty salaries on the SA survey and there was no way to determine a relationship between the numbers of individuals reported as faculty on S and the number of individuals reported as instructional faculty on the SA survey.
3. Third, there seemed to be some confusion in the community as to which employees should be included in the 'executive, administrative, managerial' occupational category.
4. Fourth, there was concern that for institutions with medical schools their S surveys were particularly problematic because of the difficulty they have in reporting on the S survey and the lack of comparability of their S data with similar schools that do not have a medical school.
5. Fifth, there was no clear way through IPEDS to answer the very important question of how many individuals provide credit instruction in postsecondary education.
6. Finally, the Staff survey was basically designed in 1976 by the Equal Employment Opportunity Commission to reflect the Standard Occupation Classification (SOC) System in place at that time. Since 1998, the SOC has been undergoing revisions and the IPEDS Staff survey did not reflect the new SOC occupational codes or guidelines.

To address these issues, the working group developed a series of matrices and guidelines that would:

- help institutions provide data consistent with their unique definitions of faculty by separating faculty status from primary functional responsibility;
- clarify the relationship between the S and SA surveys and thereby provide guidance in SA survey reporting by indicating exactly which subset of all employees should comprise the population for the SA survey;
- provide a new functional administrative category that would permit more precise definitions by defining professional administrative personnel with no supervisory responsibilities into a separate category;
- separate out medical employees from non-medical employees for use by institutions with a medical school and;
- count the number of employees that provide instruction regardless of their functional classification; and,
- reflect the occupational classifications and guidelines of the 1998 revision to the SOC.

Proposed matrices

Matrices that distribute all employees by faculty status (faculty and tenure status/non-faculty) and by occupational/functional categories are proposed. Separate matrices are proposed to distinguish full-time employees (**Matrix 1**) from part-time employees (**Matrix 2**). Data on medical school employees would be collected in separate rows for full-time (**Matrix 1**) and part-time employees (**Matrix 2**).

These two matrices would categorize all paid employees except casual¹ employees and student employees (although graduate teaching assistants, graduate research assistants, and graduate assistants are to be included) into one and only one category. Additional data (e.g., race/ethnicity, salary outlays, rank, salary ranges, etc.) would be collected about specific categories of employees to respond to various mandates and to address policy-relevant interests.

To assign employees to the appropriate cell, consult Definitions, Decision Rules, and Guidelines.

An additional matrix (**Matrix 3**) is proposed to count the number and measure the activity of individuals who actually taught in the prior fall term regardless of title or funding source.

¹ Casual employees are those hired on an ad-hoc or occasional basis to meet a short-term need for extra help. Individuals hired to work during registration or those hired to help in the bookstore at the beginning of a term would be examples of casual employees.

Definitions, Decision Rules, and Guidelines

IPEDS Employee Count Matrices (1-2)

- **Include all** employees paid by the institution in one and only one cell in matrices 1-2. Classification of employees by function should be driven by their occupational titles although some institutions might use budget or funding records.
 - **Report all employees classified as full-time by the institution in Matrix 1.** This includes employees on sabbatical leave and persons who are on leave but remain on the payroll. Include “visiting” faculty paid by your institution and faculty hired to temporarily replace faculty on sabbatical or leave. Exclude individuals such as those in the military or religious orders who are not paid by your institution.
 - **Report all employees classified as part-time by the institution in Matrix 2.** *Do not include student employees other than those employed as graduate teaching assistants, graduate research assistants, or graduate assistants.* Do not include “casual employees” (i.e., employees hired on an ad-hoc or occasional basis to meet a short-term need for extra help, such as individuals hired during registration or to help in the bookstore at the beginning of the semester).
- Individual employees are counted only once even if employed in multiple ways (e.g., a full-time employee who also teaches part-time on a per course basis is counted only in Matrix 1).
- Counts are made of active appointments at a given snapshot or freeze date of human resources/payroll data, typically around November 1.
- To **determine assignment** to the appropriate matrix:
 - If employed full-time, count in full-time matrix even if employee has an additional overload part-time appointment, contract, or course payment. Otherwise, count in part-time matrix. Term of contract is not considered in making the determination of full or part-time, only the type of appointment at the snapshot date. For example, a full-time, one-term appointment should be considered full-time for this purpose.
 - **Determine faculty status:**
If employee has faculty status by institutional definition, categorize according to tenure status. If employee does not have faculty status, count in non-faculty.
 - **Determine functional (occupational) category** based on job title, work performed, skills, education, training, and credentials. When employees may be classified in more than one occupation, they should be classified in the occupation that requires the highest level of skill. If there is no measurable difference in skill

requirements, employees should be included in the functional category (occupation) in which they spend the most time (SOC, 1998).

- **It is preferred** that instruction, research, public service (IRPS) employees be assigned to a single function (i.e., Primarily Instruction, Primarily Research, or Primarily Public Service). To assign an IRPS employee with multiple activities that are split evenly between two or more functions into a single function, count that employee in the first category of the matrix that is applicable. For example, a full-time IRPS employee who is 50% instruction and 50% research would be counted Primarily Instruction (line 2 of Matrix 1). A full-time IRPS employee who is 50% research and 50% public service would be counted as Primarily Research (line 3 of Matrix 1). A full-time IRPS employee - 40% instruction, 40% research, and 20% public service would be counted as Primarily Instruction (line 2 of Matrix 1). If it is not possible to assign an IRPS employee to a single function, count that employee in the Instruction Combined with Research and/or Public Service category (line 1 of Matrix 1).
- Schools with medical schools should report their medical school employees in the Medical Only sections of Matrix 1 (lines 13-24) and Matrix 2 (lines 37-48). Employees in all other health or allied health schools or departments, such as dentistry, veterinary medicine, nursing, dental hygiene, etc., should be reported in lines 1-12 of Matrix 1 and 25-36 of Matrix 2.

NOTE: Employees who work strictly in hospitals associated with medical schools should not be counted in the IPEDS employee count matrices

- Additional data (e.g., race/ethnicity, salary outlays, rank, salary ranges, etc.) will be collected about specific categories of employees. Salaries for faculty in lines 1-4 of Matrix 1 (full-time Instructors/Research/Public Service not in a medical school) will be reported on the Faculty Salary Survey.

The following instructions will assist in the assignment of employees to occupational activity categories.

GENERAL NOTES

Supervisors of professional and technical workers usually have a background similar to the workers they supervise, and are therefore classified with the workers they supervise. Likewise, team leaders, lead workers and supervisors of production, sales, and service workers who spend at least 20 percent of their time performing work similar to the workers they supervise are classified with the workers they supervise (SOC, 1998¹).

First-line managers and supervisors of production, service, and sales workers who spend more than 80 percent of their time performing supervisory activities are classified separately in the appropriate supervisor category, since their work activities are distinct from those of the workers they supervise. First-line managers are generally found in smaller establishments where they perform both supervisory and management functions, such as accounting, marketing, and personnel work (SOC, 1998).

¹ This instruction is based on the 1998 Standard Occupational Classification revision and represents a significant changes from the current IPEDS Staff survey instructions which indicates that supervisors of professional employees should be included the Executive, Administrative, and Managerial functional category.

OCCUPATIONAL TITLES (FUNCTIONS)

Instruction, Research, Public Service

Instruction combined with research and/or public service

Report all persons for whom it is not possible to differentiate between teaching, research and public service because each of these functions is an integral component of his/her regular assignment. These employees may hold academic rank titles of professor, associate professor, assistant professor, instructor, lecturer or the equivalent. Report in this category deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or equivalent) if their principal activity is instruction combined with research and/or public service. **This category is intended primarily for research and land grant universities.**

Primarily Instruction

Report all persons whose specific assignments customarily are made for the purpose of conducting instruction or teaching and who may hold academic rank titles of professor, associate professor, assistant professor, instructor, lecturer or the equivalent. Report in this category deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or equivalent) if their principal activity is instruction.

Primarily Research

Report all persons whose specific assignments customarily are made for the purpose of conducting research and who may hold academic rank titles of professor, associate professor, assistant professor or titles such as research associate or postdoctoral fellow. Report in this category deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or equivalent) if their principal activity is research.

Primarily Public Service

Report all persons whose specific assignments customarily are made for the purpose of carrying out public service activities such as agricultural extension services, clinical services, or continuing education and who may hold academic rank titles of professor, associate professor, assistant professor. Report in this category deans, directors, or the equivalent, as well as associate deans, assistant deans, and executive officers of academic departments (chairpersons, heads, or equivalent) if their principal activity is public service. Be sure to include all employees with a public service assignment regardless of the location of the assignment (e.g., in the field rather than on campus).

On the tables that follow, the number beside each occupational title is its 6-digit SOC code in the 1998 revision to the SOC .

Executive and Managerial

Report all persons whose assignments require management of the institution, or a customarily recognized department or subdivision thereof. Assignments require the performance of work directly related to management policies or general business operations of the institution, department, or subdivision. **Assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgement and to direct the work of others.** Report in this category employees holding the following titles:

- 11-1000 Top Executives
- 11-1010 Chief Executives
- 11-1020 General and Operations Managers
- 11-2000 Advertising, Marketing, Promotions, Public Relations, and Sales Managers
- 11-3000 Operations Specialties Managers
- 11-3010 Administrative Services Managers
- 11-3020 Computer and Information Systems Managers
- 11-3030 Financial Managers
- 11-3040 Human Resources Managers
- 11-3060 Purchasing Managers
- 11-9033 Education Administrators, Postsecondary
 - presidents
 - vice presidents
 - assistant and associate vice presidents (*include here if direct work of others; otherwise include in Other Administrative*)
 - assistant and associate deans (*include here if direct work of others; otherwise include in Other Administrative*)
 - deans
 - directors
 - department head, if their principal activity is administrative
- 11-9040 Engineering Managers
- 11-9050 Food Service Managers
- 11-9080 Lodging Managers
- 11-9110 Medical and Health Services Managers

Other Administrative

Report all persons whose assignments require management of the institution, or a customarily recognized department or subdivision thereof but who are subordinate to employees classified as executive and managerial. Assignments require the performance of work directly related to management policies or general business operations of the institution, department, or subdivision. Assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgement. Report in this category employees holding the following titles:

- Assistant, associate vice presidents (if no direction of others is required)
- Assistant, associate deans (if no direction of others is required)
- Assistant, associate directors
- Assistant, associate department head, if their principal activity is administrative
- Assistant, associate managers including first-line managers of service, production and sales workers who spend more than 80 % of their time performing supervisory activities.

Other Professional

Report all persons employed for the primary purpose of performing academic support, student service, and institutional support, whose assignments would require either a baccalaureate degree or higher or experience of such kind and amount as to provide a comparable background. Include employees with such titles as:

13-1000 Business Operations Specialists
13-1020 Buyers and Purchasing Agents
13-1070 Human Resources, Training, and Labor Relations Specialists
13-1110 Management Analysts
13-1120 Meeting and Convention Planners
13-1190 Miscellaneous Business Operations Specialists
13-2000 Financial Specialists
13-2011 Accountants and Auditors
13-2030 Budget Analysts
13-2050 Financial Analysts and Advisors
13-2060 Financial Examiners
13-2070 Loan Counselors and Officers
15-1000 Computer Specialists
15-1010 Computer and Information Scientists, Research
15-1020 Computer Programmers
15-1030 Computer Software Engineers
15-1040 Computer Support Specialists
15-1050 Computer Systems Analysts
15-1060 Database Administrators
15-1070 Network and Computer Systems Administrators
15-1080 Network Systems and Data Communications Analysts
21-1000 Counselors, Social Workers, and Other Community and Social Service Specialists
21-1010 Counselors
21-1020 Social Workers
21-1091 Health Educators
21-2010 Clergy
21-2020 Directors, Religious Activities and Education
23-1010 Lawyers
25-4000 Librarians, Curators, and Archivists
25-4013 Museum Technicians and Conservators
25-4020 Librarians
27-1010 Artists and Related Workers
27-1020 Designers
27-2020 Athletes, Coaches, Umpires
27-2030 Dancers and Choreographers
27-2041 Music Directors and Composers
29-1010 Chiropractors
29-1020 Dentists
29-1030 Dietitians and Nutritionists

29-1040 Optometrists
29-1050 Pharmacists
29-1060 Physicians and Surgeons
29-1080 Podiatrists
29-1110 Registered Nurses
29-1120 Therapists
29-1130 Veterinarians

Technical and Paraprofessionals

Report all persons whose assignments require specialized knowledge or skills which may be acquired through experience, apprenticeship, on-the-job-training, or academic work in occupationally specific programs that result in a 2-year degrees or other certificates or diplomas. Includes persons who perform some of the duties of a professional in a supportive role, which usually requires less formal training and/or experience than normally required for professional status. Includes such job titles as:

15-3000 Mathematical Technicians
19-4000 Life, Physical, and Social Science Technicians
19-4011 Agricultural and Food Science Technicians
19-4030 Chemical Technicians
19-4040 Geological and Petroleum Technicians
19-4050 Nuclear Technicians
23-2010 Paralegals and Legal Assistants
23-2090 Miscellaneous Legal Support Workers
29-2000 Health Technologists and Technicians
29-2051 Dietetic Technicians
29-2060 Licensed Practical and Licensed Vocational Nurses
29-2070 Medical Records and Health Information Technicians
29-2080 Opticians, Dispensing
31-0000 Healthcare Support Occupations
31-1012 Nursing Aides, Orderlies, and Attendants
31-2020 Physical Therapist Assistants and Aides
31-9010 Massage Therapists
31-9091 Dental Assistants
31-9092 Medical Assistants
31-9095 Pharmacy Aides
29-2052 Pharmacy Technicians

Clerical and Secretarial

Report all persons whose assignments typically are associated with clerical activities or are specifically of a secretarial nature. Include personnel who are responsible for internal and external communications, recording and retrieval of data (other than computer programmers) and/or information and other paperwork required in an office. Include such occupational titles as:

43-2010 Switchboard Operators, Including Answering Service
43-2020 Telephone Operators
43-3010 Bill and Account Collectors
43-3020 Billing and Posting Clerks and Machine Operators
43-3030 Bookkeeping, Accounting, and Auditing Clerks
43-3050 Payroll and Timekeeping Clerks
43-3060 Procurement Clerks
43-4070 File Clerks
43-4120 Library Assistants, Clerical
43-4160 Human Resources Assistants, Except Payroll and Timekeeping
43-5070 Shipping, Receiving, and Traffic Clerks
43-6000 Secretaries and Administrative Assistants
43-9010 Computer Operators
43-9020 Data Entry and Information Processing Workers
43-9031 Desktop Publishers
43-9051 Mail Clerks and Mail Machine Operators, Except Postal Service
43-9060 Office Clerks, General
43-9070 Office Machine Operators, Except Computer
43-9080 Proofreaders and Copy Markers

Skilled Crafts

Report all persons whose assignments typically require special manual skills and a thorough and comprehensive knowledge of the processes involved in the work, acquired through on-the-job-training and experience of through apprenticeship or other formal training programs. Include such occupational titles as:

51-4121 Welders, Cutters, Solderers, and Brazers
51-5010 Bookbinders and Bindery Workers
51-5020 Printers
51-7010 Cabinetmakers and Bench Carpenters
51-8000 Plant and System Operators
51-8020 Stationary Engineers and Boiler Operators
51-8030 Water and Liquid Waste Treatment Plant and System Operators
51-9020 Crushing, Grinding, Polishing, Mixing, and Blending Workers
51-9080 Medical, Dental, and Ophthalmic Laboratory Technicians
51-9120 Painting Workers
51-9130 Photographic Process Workers and Processing Machine Operators
51-9194 Etchers and Engravers

Service/Maintenance

Report all persons whose assignments require limited degrees of previously acquired skills and knowledge and in which workers perform duties that result in or contribute to the comfort, convenience, and hygiene of personnel and the student body or that contribute to the upkeep of the institutional property. Include such titles as:

33-2010 Fire Fighters
33-3000 Law Enforcement Workers
33-3040 Parking Enforcement Workers
33-3050 Police Officers
33-9030 Security Guards
33-9092 Lifeguards, Ski Patrol
35-2000 Cooks and Food Preparation Workers
35-3000 Food and Beverage Serving Workers
35-3020 Fast Food and Counter Workers
35-3030 Waiters and Waitresses
35-9000 Other Food Preparation and Serving Related Workers
37-2000 Building Cleaning and Pest Control Workers
37-3000 Grounds Maintenance Workers
49-2000 Electrical and Electronic Equipment Mechanics, Installers, and Repairers
49-2020 Radio and Telecommunications Equipment Installers and Repairers
49-2091 Avionics Technicians
49-2092 Electric Motor, Power Tool, and Related Repairers
49-3000 Vehicle and Mobile Equipment Mechanics, Installers, and Repairers
49-9010 Control and Valve Installers and Repairers
49-9021 Heating, Air Conditioning, and Refrigeration Mechanics and Installers
53-2000 Air Transportation Workers
53-3000 Motor Vehicle Operators
53-6021 Parking Lot Attendants

IPEDS Teaching Matrix (3)

- Include **all** employees who provided any instruction during the prior fall term and were counted in Matrices 1-2 **of the prior year**.
- Include anyone who taught a course but was not paid by the institution (e.g., members of the military or religious orders) and also indicate this number in the special section at the bottom of the table.
- Assign an employee to a cell based on the employee's occupational title or functional category, not the employee's teaching status (e.g., a full-time administrator, not on tenure track, who also teaches part-time is counted in cell 19).
- The activity measures under consideration for this matrix include number of classes taught, number of credit hours responsible for, and number of student-credit (contact) hours

IPEDS Salary Matrix

In reporting employees in this matrix, include only those employees reported in Matrix 1 in lines 1 through 4 (Line 1 - *Instruction combined with research and/or public service*; line 2 - *Primarily instruction*; line 3 - *Primarily research*; and line 4 - *Primarily public service*)

For employees in lines 1 through 4 of Matrix 1 who are on sabbatical leave, report their regular salaries even though the faculty member may be receiving a reduced annuity while on leave.

Include full-time replacements for employees on leave without pay.

PART A – Salary Contract Lengths and Rank of Full-time Employees Classified as Instruction Combined with Research and/or Public Service in Matrix 1

Column (1) – Report the number of employees who are on 9/10-month salary contracts.

The term, 9/10-month salary contract, applies to individuals who are employed full-time for two semesters, three quarters, two trimesters, two 4-month sessions, or the equivalent.

Column (2) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees on 9/10-month contracts reported in column (1).

Column (3) – Report the number of employees who are on 11/12-month salary contracts.

The term, 11/12-month salary contract, applies to individuals who are employed full-time for 11 or 12 months.

Column (4) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees 11/12 month contracts reported in column (3).

The number of employees reported in the Total Column of Line 15 of Part A of the salary matrix should equal the number of employees who were reported in the Total Column of line 1 in Matrix 1.

PART B – Salary Contract Lengths and Rank of Full-time Employees Classified as Primarily Instructional in Matrix 1

Column (1) – Report the number of employees who are on 9/10-month salary contracts.

The term, 9/10-month salary contract, applies to individuals who are employed full-time for two semesters, three quarters, two trimesters, two 4-month sessions, or the equivalent.

Column (2) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees on 9/10-month contracts reported in column (1).

Column (3) – Report the number of employees who are on 11/12-month salary contracts.

The term, 11/12-month salary contract, applies to individuals who are employed full-time for 11 or 12 months.

Column (4) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees 11/12 month contracts reported in column (3).

The number of employees reported in the Total Column of Line 30 of Part B of the salary matrix should equal the number of employees who were reported in the Total Column of line 2 in Matrix 1.

PART C – Salary Contract Lengths and Rank of Full-time Employees Classified as Primarily Research in Matrix 1

Column (1) – Report the number of employees who are on 9/10-month salary contracts.

The term, 9/10-month salary contract, applies to individuals who are employed full-time for two semesters, three quarters, two trimesters, two 4-month sessions, or the equivalent.

Column (2) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees on 9/10-month contracts reported in column (1).

Column (3) – Report the number of employees who are on 11/12-month salary contracts.

The term, 11/12-month salary contract, applies to individuals who are employed full-time for 11 or 12 months.

Column (4) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees 11/12 month contracts reported in column (3).

The number of employees reported in the Total Column of Line 45 of Part C of the salary matrix should equal the number of employees who were reported in the Total Column of line 3 in Matrix 1.

PART D – Salary Contract Lengths and Rank of Full-time Employees Classified as Primarily Public Service in Matrix 1

Column (1) – Report the number of employees who are on 9/10-month salary contracts.

The term, 9/10-month salary contract, applies to individuals who are employed full-time for two semesters, three quarters, two trimesters, two 4-month sessions, or the equivalent.

Column (2) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees on 9/10-month contracts reported in column (1).

Column (3) – Report the number of employees who are on 11/12-month salary contracts.

The term, 11/12-month salary contract, applies to individuals who are employed full-time for 11 or 12 months.

Column (4) - Total Salary Outlay - For each line report, to the nearest whole dollar, the total salary outlay for those employees 11/12 month contracts reported in column (3).

The number of employees reported in the Total Column of Line 60 of Part D of the salary matrix should equal the number of employees who were reported in the Total Column of line 4 in Matrix 1.